

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

## IN RE UBS AG ERISA LITIGATION

No. 08 CV 06696 (RJS)

**DECLARATION OF ROBERT J. GIUFFRA, JR.**

ROBERT J. GIUFFRA, JR. hereby declares under penalty of perjury as follows:

1. I am a member of the bar of this Court, and a member of Sullivan & Cromwell LLP, counsel to defendants UBS AG, the UBS AG Group Executive Board, Joe Scoby, Robert Wolf, the UBS Savings and Investment Plan (“SIP”) Retirement Board and Savings Plan Committee, Barbara Amone, Stephen Baird, Simon Canning, Michael Daly, Richard Duron, Per Dyrvik, Ursula Mills, Edward O’Dowd, and Jaime Taicher (collectively, “Defendants”) in the above-captioned action. I submit this declaration in support of Defendants’ Renewed Motion to Dismiss the Amended Class Action Complaint Pursuant to Rules 12(b)(1) and 12(b)(6).

2. Attached hereto are true and correct copies of the following:

Plaintiff Taveras's trading history in the UBS Stock Fund, as provided by the trustee of the SIP      Exhibit 1

UBS AG SIP Plan Document, effective as of January 1, 2007 (Excerpted) Exhibit 2

SIP Prospectus and Summary Plan Description, dated May 28, 2008  
(Excerpted) Exhibit 3

SIP Quarterly Statement Stuffer, dated May 23, 2007 Exhibit 4

UBS AG, 1Q 2006 Report (Form 6-K), filed with the Securities and Exchange Commission (“SEC”) on May 4, 2006 (Excerpted)	Exhibit 5
UBS AG, 2Q 2006 Report (Form 6-K), filed with the SEC on August 15, 2006 (Excerpted)	Exhibit 6
UBS AG, 3Q 2006 Report (Form 6-K), filed with the SEC on October 31, 2006 (Excerpted)	Exhibit 7
John C. Dugan, Comptroller of the Currency, Remarks Before the Global Association of Risk Professionals (February 27, 2008)	Exhibit 8
Ben S. Bernanke, Testimony before the Joint Economic Committee, U.S. Congress (March 28, 2007)	Exhibit 9
UBS AG, 2007 Annual Report (Form 20-F), filed with the SEC on March 18, 2008 (Excerpted)	Exhibit 10
UBS AG, 1Q 2008 Report (Form 6-K), filed with the SEC on May 6, 2008 (Excerpted)	Exhibit 11
Table showing UBS AG share prices as listed by close of business day on the New York Stock Exchange from March 13, 2007 to October 16, 2008 (adjusted for stock splits, dividends, and rights offering)	Exhibit 12

Executed on September 25, 2013 in New York, New York.

  
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Robert J. Giuffra, Jr.